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PTO/SB/05 (12/97) (modified)

Approved for use through 09/30/00. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Please type a plus sign (+) inside this box →

Attorney Docket No. 032031.0002.UTL

Total Pages 77

UTILITY
PATENT APPLICATION
TRANSMITTAL

First Named Inventor or Application Identifier

Phillip M. Parker

Express Mail Label No. EL675944328US

(Only for new nonprovisional applications under 37 CFR 1.53(b))

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

Express Mail Label No.: EL675944328US

Date of Deposit: November 27, 2000

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to: Commissioner for Patents, Washington, D.C. 20231.

Nancy Overly-Walker

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☐ Fee Transmittal Form
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification [Total Pages 56]
(preferred arrangement set forth below)
- Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC 113) [Total Sheets 13]
4. ☒ Oath or Declaration [Total Pages 2]
- a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63(d)
(for continuation/divisional with Box 17 completed)
[Note Box 5 below]
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in
the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
5. ☐ Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the
oath or declaration is supplied under Box 4b, is considered as being
part of the disclosure of the accompanying application and is hereby
incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
- a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy (identical to computer copy)
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney
(when there is an assignee)
10. ☐ English Translation Document (if applicable)
Information Disclosure Statement (IDS)/PTO-1449
and Form 892 ☐ Copies of IDS Citations
11. ☐ Per Rule 97(d) copies of those documents are not provided.
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
14. ☒ Small Entity Statement(s) ☐ Statement filed in prior application,
Status still proper and desired
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. * ☐ Other:

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No:

18. CORRESPONDENCE ADDRESS

Andrew D. Skale
Registration No. 44,338Brobeck, Phleger & Harrison LLP
12390 El Camino Real
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Telephone: (858) 720-2500
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- ☒ If a paper is untimely filed in the above-referenced application, applicant or his/her representative, the Commissioner is hereby petitioned under 37 C.F.R. § 1.136(a) for the minimum extension of time required to make said paper timely. In the event a petition for extension of time is made under the provisions of this paragraph, the Commissioner is hereby requested to charge any fee required under 37 C.F.R. § 1.17(a)-(d) to **Deposit Account No. 50-1273**. However, the Commissioner is **NOT** authorized to charge the cost of the issue fee to the Deposit Account.

The filing fee has been calculated as follows:

| FOR | NUMBER FILED | NUMBER EXTRA | RATE | CALCULATIONS |
|---|--------------|--------------|-------------------------------|--------------|
| TOTAL CLAIMS | 31 -20 = | 11 | x \$18.00 | \$198.00 |
| INDEPENDENT CLAIMS | 3 - 3 = | 0 | x \$78.00 | \$0.00 |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | + \$0.00 | \$0.00 |
| | | | BASIC FEE | \$710.00 |
| | | | TOTAL OF ABOVE CALCULATIONS = | \$908.00 |
| Reduction by 1/2 for filing by small entity (Note 37 C.F.R. §§ 1.9, 1.27, 1.28). If applicable, verified statement must be attached. | | | | \$454.00 |
| Assignment Recording Fee (if enclosed) | | | | \$0 |
| | | | TOTAL = | \$454.00 |

- ☐ No filing fee is being paid at this time. Please apply any other required fees, EXCEPT FOR THE FILING FEE, to Deposit Account No. **50-1273**.
- ☒ A check in the amount of **\$454.00** is attached.
- ☐ Charge \$_____ to **Deposit Account No.**_____ referencing docket no. _____.
- ☒ Applicant(s) hereby petitions for any required relief including extensions of time and authorizes the Commissioner to charge the cost of such petitions and/or other fees or to credit any overpayment to **Deposit Account No. 50-1273** referencing docket no. **032031.0002.UTL**. A duplicate copy of this transmittal is enclosed, for that purpose.

Dated:

Respectfully submitted,

By: _____

Andrew D. Skale
Registration No. 44,338

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Applicant or Patentee: **Philip M. Parker**
Serial or Patent No.: To be assigned
Filed or Issued: Herewith
For:

METHOD AND APPARATUS FOR AUTOMATED AUTHORIZING AND MARKETING

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9 (f) and 1.27 (b)) – INDEPENDENT INVENTOR**

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9 (c) for purposes of paying reduced fees under section 41 (a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled **METHOD AND APPARATUS FOR AUTOMATED AUTHORIZING AND MARKETING**

 X the specification filed herewith
 application serial number , filed
 Patent No. , issued

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9 (c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9 (d) or a nonprofit organization under 37 CFR 1.9 (E)

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

 X no such person, concern, or organization
 persons, concerns or organization listed below*

NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate.
(37 CFR 1.28 (b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent on which this verified statement is directed.

Signature of Inventor Philip M. Parker Date: Nov. 27, 2000
Philip M. Parker

UTILITY APPLICATION

UNDER 37 CFR § 1.53(B) (2)

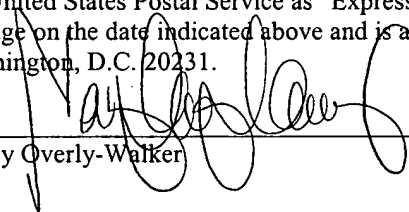
TITLE: METHOD AND APPARATUS FOR AUTOMATED
AUTHORING AND MARKETING

APPLICANT: Phillip M. Parker

Correspondence Enclosed:

Utility Application Transmittal (2 pgs); Cover Sheet (1 pg);
Specification (51 pgs); Claims (4 pgs); Abstract (1 pg); Drawings
(13 pgs); Oath and Declaration (2 pgs); Verified Statement
claiming Small Entity Status (1 pgs); Power of Attorney (2 pgs);
and Check No. 504779 in the Amount of \$454.00

"EXPRESS MAIL" Mailing Label Number EL675944328US Date of Deposit November 27,
2000 I hereby certify under 37 CFR §1.10 that this correspondence is being deposited with
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Washington, D.C. 20231.



Nancy Overly-Walker